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CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)			Docket No. 14321.60	
Applicant(s): Takayuki Mizuno et al.				
Application No. 10/727,171	Filing Date 12/03/2003	Examiner Unassigned	Customer No. 022913	Group Art Unit 3663
Invention: OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH PHASE GENERATING DEVICE				
SEP 08 2004 U.S. PATENT & TRADEMARK OFFICE				
I hereby certify that the following correspondence: Transmittal of Information Disclosure Statement (2 pgs, in triplicate); Supplemental Information Disclosure Statement (2 pgs); Form PTO-1449 Listing all Cited References (3 pgs); Legible Copies of Ten (10) Cited References; postcard; and Certificate of Express Mailing Label No. EV 510 292 868 US. (Identify type of correspondence) is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on September 8, 2004 (Date) Kelli Clark (Typed or Printed Name of Person Mailing Correspondence) Kelli Clark (Signature of Person Mailing Correspondence) EV 510 292 868 US (Express Mail Mailing Label Number)				
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TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
14321.60

In Re Application Of: **Takayuki Mizuno et al.**

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/727,171	12/03/2003	Unassigned	022913	3663	5976

Title: **OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH PHASE GENERATING DEVICE**

SEP 08 2004

UNIT & TRADEMARK OFFICE

Address to:
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.
14321.60

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10/727,171	12/03/2003	Unassigned	022913	3663	5976

Title: OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH PHASE GENERATING

Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of _____ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below.
- ☐ Charge the amount of _____
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*This certificate may only be used if paying by deposit account.

Dated: September 8, 2004

ERIC M. KAMERATH

Registration No. 46,081

Customer No. 022913

CC:



Express Mail Label No. EV 510 292 868 US

PATENT APPLICATION

Docket No: 14321.60

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)
)
	Takayuki Mizuno et al.)
)
Serial No.:	10/727,171) Art Unit
) 3663
Confirmation No.:	5976)
)
Filed:	December 3, 2003)
)
For:	OPTICAL MULTI/DEMULTIPLEXING)
	CIRCUIT EQUIPPED WITH PHASE)
	GENERATING DEVICE)

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed listed references are disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

Statement of Relevance of References Listed
Unaccompanied by English Translation
Under 37 CFR § 1.98(a)(3)

In accordance with 37 CFR § 1.98(a)(3), the following concise explanation of the relevance of each listed reference that is not in the English language and unaccompanied by a translation into English is provided.

Japanese Patent No. 2002-40493:

PROBLEM TO BE SOLVED: To provide an improved multichannel filter which has increased channel bandwidth.

SOLUTION: An MZI type reconstitutable multichannel filter is provided with increased channel bandwidth by adding an all-pass filter to one or both of MZI arms. Consequently, rectangular amplitude response which is close to a phase is obtained.

Japanese Patent No. 3175499:

PURPOSE: To improve the collating rate and to shorten the processing time by generating an effective border between registered speakers and others efficiently.

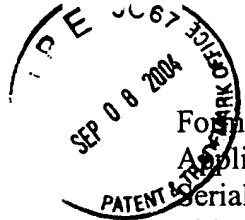
CONSTITUTION: The system is constituted by coupling a voice input part 10, a preprocessing part 20, a collation neural network 30, and a decision circuit 40. Before the preprocessing part 20 preprocesses the input voice of an input speaker for learning and inputs data on the registered network 30 for the learning of the neural network 30, data close to the area of the registered speaker in a feature space and data filling other all areas effectively are selected among preprocessed data on unregistered speakers and only the selected preprocessed data are used as input data for learning for unregistered speakers. Thus, the data selected matching two selection conditions are used, so the collating rate is improved and the processing time is shortened.

Dated this 8th day of September 2004.

Respectfully submitted,



ERIC M. KAMERATH
Attorney for Applicant
Registration No. 46,081
Customer No. 022913



Form PTO-1449

Sheet 1 of 3

Applicant:

Takayuki Mizuno et al.

Serial No.:

10/727,171

Att'y Docket No.: 14321.60

Filing Date:

12/03/2003

Group: 3663

For:

OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH
PHASE GENERATING DEVICEINFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
____ 1	5,596,661	01/21/1997	Henry et al.

Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publication Date</u>	<u>Country or Patent Office</u>	<u>Translati</u>
____ 2	EP 1158318	11/28/2001	EPO	N/A
____ 3	2002-40493	02/06/2002	Japan	No
____ 4	JP3175499	07/30/1991	Japan	No

Other Documents

(including author, title, pertinent pages, etc.)

Examiner
Initial*

____ 5	K. Jinguji et al., "Synthesis of Coherent Two-Port Lattice-Form Optical Delay-Line Circuit," Journal of Lighwave Technology, Vol. 13, No. 1, January 1995, pp. 73-82
____ 6	N. TAKATO et al., "Silica-Based Integrated Optic Mach-Zehnder Multi/Demultiplexer Family with Channel Spacing of 0.01-250 nm," IEEE Journal of Selected Areas in Communications, Vol. 8, No. 6, August 1990, pp. 1120-1127

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant: Takayuki Mizuno et al.

Serial No.: 10/727,171

Att'y Docket No.: 14321.60

Filing Date: 12/03/2003

Group: 3663

For: OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH
PHASE GENERATING DEVICE

- _____ 7 M. KUZNETSOV, "*Cascaded Coupler Mach-Zehnder Channel Dropping Filters for Wavelength-Division-Multiplexed Optical Systems*," Journal of Lightwave Technology, Vol. 12, No. 2, February 1994, pp. 226-230
- _____ 8 K. ODA et al., "*A Wide-Band Guided-Wave Periodic Multi/Demultiplexer with a Ring Resonator for Optical FDM Transmission Systems*," Journal of Lightwave Technology, Vol. 6, No. 2, June 1988, pp. 1016-1023
- _____ 9 C. KOSTRZEWA et al., "*Bandwidth Optimization of Optical Add/Drop Multiplexers Using Cascaded Couplers and Mach-Zehnder Sections*," IEEE Photonics Technology Letters, Vol. 7, No. 8, August 1995, pp. 902-904
- _____ 10 K. JINGUJI et al., "*Two-Port Optical Wavelength Circuits Composed of Cascaded Mach-Zehnder Interferometers with Point-Symmetrical Configurations*," Journal of Lightwave Technology, Vol. 14, No. 10, October 1996, pp. 2301-2310

Examiner:

Date Considered:

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For: OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH
PHASE GENERATING DEVICE**References Cited by Applicants**

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

KC0000003038V001

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
